

## Exhibit 300: Capital Asset Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview & Summary Information

**Date Investment First Submitted:** 2009-06-30  
**Date of Last Change to Activities:** 2012-07-23  
**Investment Auto Submission Date:** 2012-02-22  
**Date of Last Investment Detail Update:** 2011-09-16  
**Date of Last Exhibit 300A Update:** 2012-07-23  
**Date of Last Revision:** 2012-07-23

**Agency:** 009 - Department of Health and Human Services  
Prevention

**Bureau:** 20 - Centers for Disease Control and

**Investment Part Code:** 01

**Investment Category:** 00 - Agency Investments

**1. Name of this Investment:** CDC National Select Agent Registry (NSAR)

**2. Unique Investment Identifier (Ull):** 009-000001384

#### Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

The 2002 Bioterrorism Preparedness & Response Act requires entities to register with the U.S. Dept. of Health & Human Services (HHS) or Agriculture (USDA) if they possess, use, or transfer Select Biological Agents (SA) or Toxins that could pose a severe threat to public health and safety, animal/plant health, or animal/plant products. This Act (Public Law 107-188) requires maintenance of a national database of entities that are registered for possession of SA & toxins, laboratory compliance with national safety guidelines, security measures including controlled access to SA & toxins, security screening of entities and personnel, and criminal/civil penalties for inappropriate use of SA/toxins. Development of the National Select Agent Registry (NSAR) began in 2003 as a joint CDC & USDA system designed to control, protect, store & oversee the use, possession & transfer of SA & toxins. A 2009 External Program Review found that the NSAR system does not adequately support the needs of the organization and “negatively impacts Select Agent Program (SAP) processes.” Additionally, a 2009 Operational Analysis noted that the system fails to meet over 90% of program requirements. CDC then initiated an Analysis of Alternatives (AoA) regarding potential upgrades and/or replacement of NSAR. Based on these assessments of NSAR, management decided to extend the service life of NSAR by implementing two new projects, NSAR 6.0 and eNSAR. These projects will improve the application’s performance,

and will allow NSAR to support a much larger percentage of the program's requirements, enabling the SAP to meet its mission more effectively and efficiently.

**2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.**

The purpose of this investment is to support HHS and USDA's legislated responsibilities to maintain a national database of entities that are registered for possession of SA & toxins, laboratory compliance with national safety guidelines, security measures including controlled access to SA & toxins, security screening of entities and personnel, and criminal/civil penalties for inappropriate use of SA/toxins. Failure to fund this investment would prevent CDC and USDA from complying with the 2002 Bioterrorism Preparedness & Response Act (Public Law 107-188). Significant reductions in funding for the investment would impair CDC's ability to support inspection of entities handling Select Agents, and of managing entity records. Many of the planned future releases of NSAR support improved operational efficiency, such as entity data entry via a portal, and improved workflow and analytics, and failure to fund these releases adequately will increase costs not captured directly within the NSAR investment, such as increased manual data entry, dedicated NSAR desktop hardware, and lack of flexible reporting during a public health event.

**3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.**

NSAR Release 5.3 was deployed during PY (FY2011), which included a Mid Tier Data Center (MTDC) Tech Refresh, improved usability, improved Section 508 compliance, and application performance enhancements. 100% of security patches were executed at OS and desktop level for APHIS and CDC users. The NSAR application supported DSAT's workload of managing 450 entities, and processing 500-800 registrations, transfers, requests, reports and exemption request forms per month during FY2011.

**4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).**

During FY12 and FY13, NSAR will be deploying two new projects (NSAR 6.0 and eNSAR). These projects will address a much larger percentage of the program's requirements, enabling the SAP to meet its mission more effectively and efficiently. In CY (FY2012), NSAR is scheduled to deploy NSAR 6.0, which will reduce the level of custom coding, move the Disaster Recovery and Production sites to new locations, enable an external portal to CDC and APHIS users, provide a hardware refresh and support for the HHS smart card initiative. In BY (FY2013), NSAR is scheduled to complete deployment of its initial eNSAR functionality ("eNSAR"); implementation of an "Active/Active" Disaster Recovery site, replacement of a shared network drive with MOSS SharePoint, deployment of a portal, and completion of security enhancements. NSAR will leverage existing hardware and software for the new eNSAR project wherever possible, necessitating that some infrastructure be refreshed at this point in time.

5. **Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2011-06-08

## Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$0.1	\$0.8	\$0.3	\$0.8
DME (Excluding Planning) Costs:	\$28.8	\$1.6	\$1.1	\$3.1
DME (Including Planning) Govt. FTEs:	\$1.1	\$0.1	\$0.1	\$0.2
Sub-Total DME (Including Govt. FTE):	\$30.0	\$2.5	\$1.5	\$4.1
O & M Costs:	\$22.0	\$2.3	\$2.4	\$2.6
O & M Govt. FTEs:	\$1.0	\$0.3	\$0.1	\$0.2
Sub-Total O & M Costs (Including Govt. FTE):	\$23.0	\$2.6	\$2.5	\$2.8
Total Cost (Including Govt. FTE):	\$53.0	\$5.1	\$4.0	\$6.9
Total Govt. FTE costs:	\$2.1	\$0.4	\$0.2	\$0.4
# of FTE rep by costs:	2	3	2	2
Total change from prior year final President's Budget (\$)		\$0.8	\$2.1	
Total change from prior year final President's Budget (%)		20.18%	103.93%	

**2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:**

The Summary of Funding has changed due to the decision to implement the recommendations of the Analysis of Alternatives (AoA), and make significant changes to the NSAR application to meet program requirements and improve performance. To accurately reflect this, the Summary of Funding has been changed to show NSAR Release 6.0 activities in FY2012, then modular eNSAR development activities to enable CDC to realize the full benefits of the new eNSAR platform in FY2013 and beyond.

## Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded	7523	200-2009-F-301 91	HHSD2002007 M19541B	7523							

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

## Exhibit 300B: Performance Measurement Report

### Section A: General Information

**Date of Last Change to Activities:** 2012-07-23

### Section B: Project Execution Data

**Table II.B.1 Projects**

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
283432	NSAR - Release 6.0	National Select Agent Registry (NSAR) Modernization 6.0 Project will improve the stability, availability, and reliability of the current NSAR system and encompasses the following components: • Technology Hardware Refresh • Migrate Existing Software to Current Version • Relocate Infrastructure to New Location • Enable External Portal - Public Law 107-188 • Smart Card Reader Accessibility - HHS Smart Card Initiative • Relocate Disaster Recovery Site to New Location.			
284865	eNSAR	Deploy initial eNSAR functionality; implementation of an "Active/Active" Disaster Recovery site, replacement of a shared network drive with MOSS SharePoint, deployment of a portal, and completion of security enhancements. NSAR will leverage existing hardware and software for the new eNSAR			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		releases wherever possible, necessitating that some infrastructure be refreshed at this point in time.			

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
283432	NSAR - Release 6.0							
284865	eNSAR							

Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
283432	283432: NSAR 6.0 - EPLC Requirements & Analysis: Requirements Development Phase	EPLC Requirements & Analysis Phase. Requirements documented in the Business Needs Statement are further revalidated, analyzed and decomposed into high-level system (functional and non-functional) requirements that define the NSAR application in more detail.	2011-09-27	2011-09-27	2011-09-27	172	0	0.00%
283432	283432: NSAR 6.0 - Initiation & Concept (EPLC Phases)	EPLC Initiation Phase: Coordinated with partners, documented needs of the business, determined project ROM cost and	2011-11-29	2011-05-31	2011-11-29	242	0	0.00%



Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
		<p>schedule, and developed the Business Needs Statement (BNS).</p> <p>Governance Activities: Obtained approval on NSAR 6.0 Business Needs Statement from CDC</p> <p>Governance. EPLC Concept Phase: Continued coordinating with partners on needs of the business, further refined project cost and schedule estimates, identified and validated opportunities to improve business and project processes. Correct deficiencies related to business needs, identified significant assumptions, constraints, risks, conducted a gap analysis, and continued to refine business requirements. In the Concept Phase, the Project Process Agreement, Project Charter, and Preliminary Project Management Plan were developed. In the Concept Phase, sufficient requirements detail was developed.</p> <p>Governance Activities:</p>						

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
		Obtained Project Charter, Project Process Agreement, and Preliminary Project Management Plan Approval from CDC Governance.						
283432	283432: NSAR 6.0 - EPLC Planning Phase	<p>EPLC Planning Phase: Scope of NSAR 6.0 is broken down into specific tasks and sub-tasks, including the identification of project deliverables and assignment of allocated resources to each task. The project team developed supporting management plans for ongoing project execution and control.</p> <p>The Project Management Plan (PMP) is produced with supporting management plans. Also developed are the Work Breakdown Structure (WBS or a hierarchical Work Breakdown Structure that represents project scope and project deliverables), Organizational Breakdown Structure (OBS), Project Schedule (Baseline schedule represents a decomposition of the NSAR 6.0 Project WBS into sequenced</p>	2012-01-20	2012-01-20	2012-01-19	252	1	0.40%

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
		tasks and activities) and Performance Measurement Baseline (PMB). Governance Activities: Obtain Approval for NSAR 6.0 PMP, Project Schedule, and PMB from CDC Governance.						
283432	283432: NSAR 6.0 - EPLC Requirements & Analysis: Requirements Analysis	Requirements are further refined to develop the Systems Requirements Specification (SRS) document and the Requirements Traceability Matrix (RTM). Governance Activities: Obtain Requirements Document and Requirements Traceability Matrix Approval from CDC Governance.	2012-02-24	2012-02-24	2012-02-23	149	1	0.67%
283432	283432: NSAR 6.0 - EPLC Design Phase	EPLC Design Phase: Establish a configuration plan for the COTS products that addresses all requirements defined by the Requirements Traceability Matrix. The Design phase produces the Detailed Design Document (DDD) and COTS Installation and Configuration Documents. Governance Activities: Obtain Detail Design Document Approval	2012-05-01	2012-05-11	2012-06-06	274	-36	-13.14%

## Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
		from CDC Governance.						
283432	283432: Security	<p>This WBS element develops and updates existing NSAR C&amp;A documentation, includes the revision to the Business Continuity Plan and COOP Plan documentation. The outcome of this work activity is the revised OCISO accepted C&amp;A Package, the Authority to Test and the Authority to Operate. An additional outcome is the business acceptance of the revised BCP and COOP plans. This WBS element also encompasses the Design and Deployment of PIV Smart Card Solution which complies with the HHS Smart Card Initiative: Smart Card Reader Accessibility (Reference: Health and Human Services Memorandum from William V. Corr, April 15, 2011). This solution design is incorporated into the NSAR 6.0 Detail Design Document.</p>	2012-07-05	2012-07-05		234	-57	-24.36%

## Section C: Operational Data

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
100% of CDC registered entities' amendments received and approved within "X" time.	Days	Customer Results - Customer Benefit	Under target	50.000000	45.000000	45.000000	45.000000	Semi-Annual
100% of CDC security mandates implemented within "X" time.	Days	Process and Activities - Cycle Time and Timeliness	Under target	45.000000	45.000000	40.000000	45.000000	Semi-Annual
Total system up-time (excluding planned maintenance) as total hours where system or key system components are available to users, as percentage of hours in the reporting period.	Percentage	Technology - Reliability and Availability	Over target	90.000000	90.000000	98.000000	90.000000	Monthly
Total system up-time during business hours (6am - 6pm weekdays)	Percentage	Technology - Reliability and Availability	Over target	95.000000	95.000000	95.000000	95.000000	Monthly
Percentage of total transactions entered into eNSAR requiring revision, correction or amendment after submission during reporting period	Percentage	Customer Results - Service Quality	Under target	4.000000	4.000000	0.020000	4.000000	Semi-Annual